

Substitute for Form 1449 A & B/PTO  <b><u>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</u></b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>			
		Application Number	<del>Not Assigned</del> 10/734,110		
		Confirmation Number	Not Assigned		
		Filing Date	December 15, 2003		
		First Named Inventor	Russell CHILDS		
		Art Unit	<del>Not Assigned</del> 2883		
		Examiner Name	<del>Not Assigned</del> Joanne H. Kim		
Sheet	1	of	1	Attorney Docket Number	Q78999

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
JK		US 5,838,870		11/17/98	Soref
		US			
		US			

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
JK		WO	0022465		04/20/00	IBM	Yes
JK		EP	0907090	A2	04/07/99	Northern Telecom Limited	Yes
JK		EP	0532229	A1	03/17/93	American Telephone and Telegraph	Yes
JK		EP	0729042	A1	08/28/96	Alcatel N.V.	Yes
JK		EP	0545820	A1	06/09/93	Alcatel Alsthom Compagnie Generale D'Electricite	No
JK		EP	0431527	A2	06/12/91	Canon Kabushiki Kaisha	Yes
JK		JP	070074396	A	03/17/95		Yes/w/En glish Abstract

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
JK		A. Kilian et al, "Birefringence Free Planar Optical Waveguide Made by Flame Hydrolysis Deposition (FHD) Through Tailoring of the Overcladding", JOURNAL OF LIGHTWAVE TECHNOLOGY, IEEE, NY, US, Vol. 18, No. 2 1 February 2000, pp. 193-198, XP001001814	Yes
JK		PATENT ABSTRACTS OF JAPAN, Vol. 1999, No. 08, June 30, 1999 corresponding to JP 11 064655 (A) NEC Corp). dated March 5, 1999	Yes
JK		E. Wildermuth et al, "Penalty-free polarisation compensation of SiO2/Si arrayed waveguide grating wavelength multiplexers using stress release grooves" ELECTRONICS LETTERS, IEE Stevenage, GB, Vol. 34, No. 17, 20 august 1998, pp. 1661-1663, XP006010219	

Examiner Signature	<i>Joanne H. Kim</i>	Date Considered	9/15/2004
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.